

# PART B - FEE(S) TRANSMITTAL

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**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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26111 7590 06/26/2009

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
 1100 NEW YORK AVENUE, N.W.  
 WASHINGTON, DC 20005

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(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/615,796	07/10/2003	Ian Kenneth Shepherd	2151.0050002	1916

TITLE OF INVENTION: METHODS AND APPARATUS RELATING TO THE FORMULATION AND TRADING OF INVESTMENT CONTRACTS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	09/28/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
GREENE, DANIEL LAWSON	3694	705-035000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a **Customer Number is required.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

Sterne Kessler Goldstein & Fox PLLC  
 1 \_\_\_\_\_  
 2 \_\_\_\_\_  
 3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Alice Corporation PTY, Ltd.

Melbourne, AUSTRALIA

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☒ Issue Fee
- ☒ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☒ Payment by credit card.
- ☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 19-0036 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature \_\_\_\_\_

Date 9/28/09

Typed or printed name Robert Sokohl, Esq.

Registration No. 36,013

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Ian Kenneth SHEPHERD

Application No.: 10/615,796

Filed: July 10, 2003

For: **Methods and Apparatus Relating to the  
Formulation and Trading of Investment  
Contracts**

Confirmation No.: 1916

Art Unit: 3694

Examiner: Greene, Daniel Lawson

Atty. Docket: 2151.0050002

**Interview Summary**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

*Mail Stop Issue Fee*

Sir:

The undersigned conducted a telephone interview with the Examiner regarding the above-captioned matter on September 28, 2009. The Examiner agreed that U.S. Patent No. 6,622,130, which is the parent application of the above-captioned application, was considered during prosecution of the above-captioned matter.

The Examiner is invited to contact the Applicant's undersigned representative at the number provided with any inquiries regarding this Interview Summary.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicant  
Registration No. 36,013

Date: September 28, 2009

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Ian Kenneth SHEPHERD

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**Comments on Statement of Reasons for Allowance**

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Sir:

Applicant thanks the Examiner for indicating the allowability of independent claims 21, 29 and 30 in the Notice of Allowance dated June 26, 2009.

**Comments on Statement of Reasons for Allowance**

Applicant notes the Examiner's Statement of Reasons for Allowance presented on page 2 of the Notice of Allowance. Applicant reserves the right to demonstrate independent claims 21, 29 and 30 are allowable over the art made of record for further reasons related to any of their recited features. Applicant further contends that reservation of this right does not give rise to any implication regarding whether the Applicant agrees with or acquiesces in the reasoning provided by the Examiner.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicant  
Registration No. 36,013

Date: September 28, 2009

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